

Sector #

| | | | | |
|---|-------------------|---|--|-------------------|
| TRANSMITTAL FORM (to be used for all correspondence after initial filing) | | Application Number | 09/714,477 | |
| | | Filing Date | November 16, 2000 | |
| | | First Named Inventor | Sun-Chueh Kao | |
| | | Group Art Unit | 1754 | |
| | | Examiner Name | Unassigned | |
| Total Number of Pages in This Submission | 5 | Attorney Docket Number | 2000U032.US | |
| ENCLOSURES (check all that apply) | | | | |
| <input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Preliminary Amendment / Response Non-Fee Amendment <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Documents) <input checked="" type="checkbox"/> Response to Missing Part/ Incomplete Application <input checked="" type="checkbox"/> Response to Missing Parts | | <input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition <input type="checkbox"/> To Convert a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund | <input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below): <u>Return Postcard</u> | |
| REMARKS | | | | |
| SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT | | | | |
| Firm Or Individual name | Jaimes Sher | | Registration No. | 34,726 |
| Signature | | | | |
| Date | February 21, 2001 | | | |
| CERTIFICATE OF MAILING | | | | |
| I hereby certify having information and a reasonable basis for belief that this correspondence will be deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: February 21, 2001 | | | | |
| Typed or printed name | Tammy L. Hodges | | | |
| Signature | | | Date | February 21, 2001 |

FEE TRANSMISSION

Note: Effective November 10, 1998, **2001**
Patent fees are subject to annual revision.

Total Amount of Payment (\$ 130.00)

METHOD OF PAYMENT (check one)

- The Commissioner is hereby authorized to charge indicated fees and credit any over payment to:

Deposit Account Number:

50-0589

Deposit Account Name: Univation Technologies, LLC

- Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
 Charge the Issue Fee Set in 37 CFR 1.18 at the Mailing of the Notice of Allowance

FEE CALCULATION

1. FILING FEE

| Large Entity Fee Code | Fee Description | Fee \$ | Fee Paid |
|-----------------------|------------------------|--------|----------|
| 101 | Utility filing fee | 760 | |
| 106 | Design filing fee | 310 | |
| 107 | Plant filing fee | 480 | |
| 108 | Reissue filing fee | 760 | |
| 114 | Provisional filing fee | 150 | |
| SUBTOTAL (1) | | | |

2. CLAIMS

| | Extra | Fee from below | Fee Paid |
|---------------------------|--------|----------------|----------|
| Total Claims | | | |
| | - 20 = | x 18 = | |
| Independent Claims | | | |
| | - 3 = | x 78 = | |
| Multiple Dependent Claims | | x 260.00 = | |

Large Entity

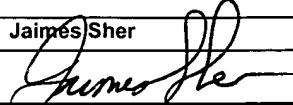
| Fee Code | Fee \$ | Fee Description |
|---------------------|--------|---|
| 103 | 18 | Claims in excess of 20 |
| 102 | 78 | Independent claims in excess of 3 |
| 104 | 260 | Multiple dependent claim |
| 109 | 78 | Reissue independent claims over original patent |
| 110 | 18 | Reissue claims in excess of 20 and over original patent |
| SUBTOTAL (2) | | |

| | |
|------------------------|-------------------------------------|
| Application Number | 14,477 |
| Filing Date | November 16, 2000 |
| Inventors | Sun-Chueh Kao and Parul A. Khokhani |
| Group Art Unit | 1754 |
| Examiner Name | Unassigned |
| Attorney Docket Number | 2000U032.US |

FEE CALCULATION (continued)

3. ADDITIONAL FEES

| Fee Code | Large Entity Fee \$ | Fee Description | FEES PAID |
|---|---------------------|--|---------------|
| 105 | 130 | Surcharge – late filing fee or oath | 130.00 |
| 127 | 50 | Surcharge – late provisional filing or cover sheet | |
| 139 | 130 | Non-English specification | |
| 147 | 2,520 | For filing a request for reexamination | |
| 112 | 920* | Requesting publication of SIR prior to Examiner action | |
| 113 | 1,840* | Requesting publication of SIR after Examiner action | |
| 115 | 110 | Extension for reply within first month | |
| 116 | 380 | Extension for reply within second month | |
| 117 | 870 | Extension for reply within third month | |
| 118 | 1,360 | Extension for reply within fourth month | |
| 128 | 1,850 | Extension for reply within fifth month | |
| 119 | 300 | Notice of Appeal | |
| 120 | 300 | Filing a brief in support of an appeal | |
| 121 | 260 | Request for oral hearing | |
| 138 | 1,510 | Petition to institute a public use proceeding | |
| 140 | 110 | Petition to revive – unavoidable | |
| 141 | 1,210 | Petition to revive – unintentional | |
| 142 | 1,210 | Utility issue fee (or reissue) | |
| 143 | 430 | Design issue fee | |
| 144 | 580 | Plant issue fee | |
| 122 | 130 | Petition to the Commissioner | |
| 123 | 50 | Petitions related to provisional applications | |
| 126 | 240 | Submission of information Disclosure Stmt. | |
| 581 | 40 | Recording each patent assignment per property (times number of properties) | |
| 146 | 760 | Filing a submission after final rejection (37 CFR 1.129(a)) | |
| 149 | 760 | For each additional invention to be examiner (37 CFR 1.129(b)) | |
| Other fee (specify) * Reduced by Basic Filing Fee Paid | | | |
| SUBTOTAL (3) | | | 130.00 |

| | | | |
|-----------------------|---|----------|-------------------|
| Typed or Printed Name | James Sher | Reg. No. | 34,726 |
| Signature |  | Date | February 21, 2001 |



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
 UNITED STATES PATENT AND TRADEMARK OFFICE
 WASHINGTON, D.C. 20231
www.uspto.gov

| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|---------------------|-----------------------|------------------------|
| 09/714,477 | 11/16/2000 | Sun-Chueh Kao | 2000U032.US |

Univation Technologies LLC
 5555 San Felipe
 Suite 1950
 Houston, TX 77056



FORMALITIES LETTER



OC000000005769055

Date Mailed: 02/15/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.

- The balance due by applicant is \$ 130.

A copy of this notice MUST be returned with the reply.


 Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

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